

04-18-01

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re New Patent Application:

Attorney Docket No.: 26592-004 REG US

Inventors: **KENDRICK W. KAM****BRUCE L. HORN**Filing Date: **filed herewith on APRIL 17, 2001**

Title: INTERNET-BASED SYSTEM FOR IDENTIFICATION, MEASUREMENT AND RANKING OF INVESTMENT PORTFOLIO MANAGEMENT, AND OPERATION OF A FUND SUPER-MARKET, INCLUDING "BEST INVESTOR" MANAGED FUNDS

Certification under 37 CFR 1.10

Mailing Date: **April 17, 2001**Express Mail Label No.: **EL 825 402 038 US**

I hereby certify that the application/correspondence attached hereto is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" under the above Label Number under 37 CFR 1.10, on the above stated date addressed to : Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

Name: **Melissa Harrison**Signature: *Melissa Harrison***Box PATENT APPLICATION**

Assistant Commissioner for Patents

Washington, D.C. 20231

NEW PATENT APPLICATION TRANSMITTAL LETTER

Sir:

Transmitted herewith for filing is the above-entitled Regular Patent Application, including the following papers, correspondence and related instructions, as indicated:

☒ Application (52 pages total), including:

Specification (29 pages)

Claims 1 - 126 (15 pages)

Abstract (1 page)

Appendix (7 pages)

☒ Drawings (8 sheets, including Figs. 1 - 7);

drawings are: [] Informal [X] Formal

☒ Combined Declaration and Power of Attorney

☒ The enclosed Declaration has been executed by all of the inventors.

[] The enclosed Declaration has not been executed by all of the inventors. A fully executed Declaration with surcharge will be submitted with a 1533 Notice Response.

☒ Entitlement to Small Entity Status of Inventors and of Small Business Concern is asserted.

[] Information Disclosure Statement

[] Assignment of Inventors

[] Assignment Recordation Cover Sheet

☒ Check No. 1177 for fees

☒ Return postcard

Claim of Priority:

[X] Applicants claim priority under 35 U.S.C. §§ 119(a), 119(e), 120 and §365(b) of the following US Provisional and foreign Applications:

Provisional Applications Nos.: 60/197,569 filed April 17, 2000;
60/231,058 filed September 8, 2000;
60/261,885 filed January 16, 2001; and
Regular Applications Nos.: 09/610,160 filed July 5, 2000;
09/610,163 filed July 5, 2000; and
09/610,164 filed July 5, 2000.

Please address all future written and telephone communication to:

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Fee Payment and Deposit Account Authorization:

Applicants and their Assignee are: ☒ Small Entity; ☐ Large entity.

The required fee is calculated below:

Basic Filing Fee (\$355/710):	\$355
Total claims: 126 - 20 = 106 (@ \$9/18 each)	954
Independent claims: 11 - 3 = 8 (@ \$40/80 each)	320
Multiple Dependency Fee: 0 (@ \$130/260 each)	0
Surcharge for late Declaration or filing fee (\$65/130)	0
Recordation of Assignment: (@ \$40 each application)	0
TOTAL FEE DUE:	<u>\$1629</u>

☒ The filing fee is being paid by the enclosed check No. 1177 in the amount of \$1629.00.

☐ Please charge Deposit Account No. 04-1699 in the amount of \$ ____ to cover the above fees,

☒ Please charge any additional fees or credit any overpayments to Deposit Account 04-1699.
A duplicate copy of this sheet is enclosed.


☐ The filing fee will be paid timely in response to a 1533 Notice of Missing Parts.

☒ The filing fee and surcharge under 37 CFR 1.16, patent application processing fees under 37 CFR 1.17 and patent issue fees under 37 CFR 1.18 are intended to be paid by our firm as they arise. As no abandonment is intended by any inadvertent nonpayment of fees, the Commissioner is hereby authorized to charge payment of such fees as from time to time come due, if not paid prior to due date to our Deposit Account No. 04-1699.

Date: April 17, 2001

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Respectfully submitted,


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